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s/

Julie Agozino

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:  
STASCIE CANA-KOCH, ET AL.

Serial No.: 10/811,513

Confirmation No.: TBA

Filed: March 29, 2004

For: SALTS OF TRICYCLIC INHIBITORS OF  
POLY(ADP-RIBOSE) POLYMERASES

Group Art Unit: TBA

Examiner: TBA

Honorable Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

**UNDER 37 C.F.R. § 1.97(b) or 1.97(c)**

**37 CFR § 1.97(b)**

- ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

**37 CFR § 1.97(c)**

- ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of (1) a Final Action under § 1.113; (2) a Notice of Allowance under § 1.311; or (3) an action that otherwise closes prosecution in the application. The Commissioner is hereby authorized to charge the fee as set forth in § 1.17(p) to Deposit Account Number 500329.

- ☐ Applicant requests that the Examiner consider the following copending applications:

Application Serial No.	Filing Date

- ☐ Copies of these copending applications are enclosed.
- ☒ Applicant hereby requests consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith. Copies of the cited references, except as noted below, are enclosed.
- ☐ This application is a continuation, divisional or continuation-in-part of Serial No. [REDACTED]. Copies of the cited references, if not enclosed, are available in the file of the parent application or parents thereof.
- ☐ This application was filed after June 30, 2003, or entered U.S. national stage under 35 U.S.C. § 371, after June 30, 2003. Copies of U.S. Patents and U.S. Patent Application Publications are not enclosed. (1276 OG 55).
- ☐ Applicant hereby requests consideration of the enclosed International Search Report, which was received in a related international patent application.

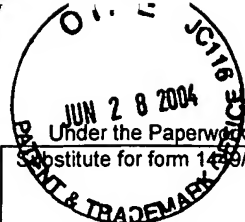
The Commissioner is hereby authorized to charge any fee deficiency, including any fee required under 37 C.F.R. § 1.17(p), or credit any overpayment, to Deposit Account Number 500329. A duplicate copy of this form is enclosed.

Respectfully submitted,

Date: June 24, 2004

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/811,513
Filing Date	March 29, 2004
First Named Inventor	Stacie Cana-Koch, et al
Art Unit	TBA
Examiner Name	TBA
Attorney Docket Number	PC19150

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	Cite No. <sup>1</sup>	DOCUMENT NUMBER	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup>			
	AA	3,883,590	05-13-1975	Schmerling, et. al.	
	AB	3,900,477	08-19-1975	Philipp, et. al.	
	AC	3,932,406	01-13-1976	Buttner, et. al.	
	AD	3,950,343	04-13-1976	Philipp, et. al.	
	AE	3,978,066	08-31-1976	Philipp, et. al.	
	AF	4,033,960	07-05-1977	Seng, et. al.	
	AG	4,910,193	03-20-1990	Buchheit	
	AH	5,215,738	06-01-1993	Lee, et. al.	
	AI	5,246,933	09-21-1993	Turnbull, et. al.	
	AJ	5,572,143	12-21-1993	Benson, et. al.	
	AK	5,342,946	08-30-1994	Hamilton, et. al.	
	AL	5,587,384	12-24-1996	Zhang, et. al.	
	AM	5,589,483	12-31-1996	West	
	AN	5,659,082	08-19-1997	Flitter, et. al.	
	AO	5,756,510	05-26-1998	Griffin, et. al.	
	AP	5,756,548	05-26-1998	Flitter, et. al.	
	AQ	6,495,541	12-17-2002	Webber, et. al.	

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> Number <sup>3</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
/	AR	EP 00/18493	11-12-1980	Bayer AG		
/	AS	JP 57144286	09-06-1982	Takeda Chem. Ind. Ltd		
/	AT	JP 6434988	02-06-1989	Takeda Chem. Ind. Ltd.		
/	AU	WO 95/09159	04-06-1995	Otsuka Pharmaceutical Company, Limited		
✓	AV	WO 95/24379	09-14-1995	Cancer Research Campaign Technology Limited		
✓	AW	WO 95/26186	10-05-1995	Oxigene, Inc.		
✓	AX	GB 2297089	07-24-1996	Zeneca Farms S.A.		
✓	AY	WO 97/04771	02-13-1997	Newcastle University Ventures Limited		
✓	AZ	WO 97/19934	06-05-1997	Chinoin Gyogyszer Es Vegyeszeti Termek Gyara		
✓	BA	WO 97/32576	09-12-1997	Oxigene, Inc.		
✓	BB	WO 98/33802	08-06-1998	Octamer, Inc.		
✓	BC	WO 98/51307	11-19-1998	Octamer, Inc.		
	BD	WO 98/51308	11-19-1998	Octamer, Inc.		
✓	BE	WO 99/11624	03-11-1999	Guilford Pharmaceuticals, Inc.		
✓	BF	WO 99/11628	03-11-1999	Guilford Pharmaceuticals, Inc.		
✓	BG	WO 99/11645	03-11-1999	Guilford Pharmaceuticals, Inc.		

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Attorney Docket Number	PC19150

<input checked="" type="checkbox"/>	BH	WO99/11622	03-11-1999	Guilford Pharmaceuticals, Inc.		
<input checked="" type="checkbox"/>	BI	WO 99/11644	03-11-1999	Guilford Pharmaceuticals, Inc.		
<input checked="" type="checkbox"/>	BJ	WO 99/11623	03-11-1999	Guilford Pharmaceuticals, Inc.		
<input checked="" type="checkbox"/>	BK	WO 99/59975	11-25-1999	Guilford Pharmaceuticals, Inc.		
	BL	WO 99/59973	11-25-1999	Guildford Pharmaceuticals, Inc.		

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BM	ACKERLY, et. al., "A Novel Approach to Dual-Acting Thromboxane Receptor Antagonist/Synthase Inhibitors Based on the Link of 1,3-Dioxane-Thromboxane Receptor Antagonists and Thromboxane Synthase Inhibitors," J. Med. Chem., 1995, 1608-1628, Vol. 38.	
	BN	ANANTHANARAYANAN, et al., "3,4-Bridged Indoles: Part II-Synthesis of 6-Keto-1,5-dihydro-4,5-diazepino[6,5,4-cd]indoles & 3,4-Disubstituted Indoles as 5-HT Antagonists," <i>Indian Journal of Chemistry</i> , 1977, 710-714, Vol. 15B.	
	BO	ANANTHANARAYANAN, et. al., "3,4 Bridged indoles: Part II. Synthesis of 6-keto-1,5-dihydro-4,5-diazepino '6,5,4-CD'indoles and 3,4-disubstituted indoles as 5-HT antagonist," <i>Chemical Abstracts</i> , 1978, 543, Vol. 88, No. 17.	
	BP	BABIYCHUK, et. al., "Higher plants possess two structurally different poly(ADP-ribose) polymerases," <i>The Plant Journal</i> , 1998, 635-645, Vol. 15, No. 5.	
	BQ	BANASIK, et. al., "Specific Inhibitors of Poly(ADP-ribose) Synthetase and Mono(ADP-Ribosyl)Transferase," <i>The Journal of Biological Chemistry</i> , 1992, 1569-1575, Vol. 267, No. 3.	
	BR	BOWES, et al., "Effects of inhibitors of the activity of poly (ADP-ribose) synthetase on the liver injury caused by ischaemia-reperfusion: a comparison with radical scavengers," <i>British Journal of Pharmacology</i> , 1998, 1254-1260, Vol. 124.	
	BS	BOWES, et al., "Inhibitors of the activity of poly(ADP-ribose) synthetase reduce the cell death caused by hydrogen peroxide in human cardiac myoblasts," <i>British Journal of Pharmacology</i> , 1998, 1760-1766, Vol. 124.	
	BT	BOWMAN, et al., "1,3,4,5-Tetrahydrobenz[cd] indoles and Related Compounds. Part II," <i>J.C.S. Perkin I</i> , 1972, 1926-1932.	

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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** (Use as many sheets as necessary)

## **Complete if Known**

Application Number	10/811,513
Filing Date	March 29, 2004
First Named Inventor	Stacie Cana-Koch, et al
Art Unit	TBA
Examiner Name	TBA
Attorney Docket Number	PC19150

CH	GENESTE, et al., "Recherches en serie de l'imidazo- (4,5,1-jk)-benzodiazepine-1,4 et de l'imidazo- (1,5,4-ef) – benzodiazepine – 1,5," <i>Eur. J. Med. Chem.</i> , 1978, 53-59; Vol. 13, No. 1 with English abstract
CI	GILCHRIST, et al., "Cyclisation of <i>ortho</i> -Substituted <i>N</i> -Arylbenzimidoyl Nitrenes," <i>J.C.S. Perkin I</i> , 1979, 2303-2307.
CJ	GMEINER, et al., "Synthesis and Dopamine Receptor Binding of 3-Phenylazepino [5,4,3-c,d] indole Derivatives," <i>Arch. Pharm.</i> , 19955, 329-332, Vol. 328.
CK	GRIFFIN, et al., "Resistance-Modifying Agents. 5. Synthesis and Biological Properties of Quinazololinone Inhibitors of the DNA Repair Enzyme Poly(ADP-ribose) Polymerase (PARP)," <i>Journal of Medicinal Chemistry</i> , 1998, 5247-5256, Vol. 41..
CL	GRIFFIN, et. al., "Novel Potent Inhibitors of the DNA Repair Enzyme Poly (ADP-ribose) Polymerase (PARP)," <i>Anti-Cancer Drug Design</i> , 1995, 507-514, Vol. 10.
CM	HAYASHI, et al., "Induction of hepatic poly (ADP-ribose) polymerase by peroxisome proliferators, non-genotoxic hepatocarcinogens," <i>Cancer Letters</i> , 1998, 1-7, Vol. 127.
CN	HESTER, et al., "Pyrrolo [3,2,1-jk][1,4] benzodiazepines and Pyrrolo {1,2,3-ef}[1,5] benzodiazepines Which Have Central Nervous System Activity", <i>Journal of Medicinal Chemistry</i> , 1970, 827-835, Vol. 13, No. 5.
CO	HIGGINS, J., "Benzimidazole Polymers from Aldehydes and Tetraamines," <i>Journal of Polymer Science, Part A-1</i> , 1970, 171-177, Vol. 8.
CP	HORNING, et. al., "Isocarbostyrils. II. The Conversion of 1-Methyl-4-acyl-5-nitroisocarbostyrils to 2-Substituted Indole-4-carboxylic Acids," <i>Canadian Journal of Chemistry</i> , 1971, 2797-2802, Vol. 49.
CQ	IMAI, et. al., "Facile Syntheses of 2H-1,2,4-Benzothiadiazine 1,1-Dioxides and 4-Oxo-3,4-Dihydroquinazolines from 2-Aminobenzenesulfonamide or 2-Aminobenzamide and Aldehydes in the Presence of Sodium Hydrogen Sulfite," <i>Synthesis</i> , January 1981, 35-36.
CR	KAMENKA, et. al., "Syntheses en Serie de la Ceto 6 imidazo [4,5,1-ij] quinolene," <i>Chem.</i> , 1973, 459, Vol. 10.
CS	KAWAMURA, et al., "An alternative form of poly(ADP-ribose) polymerase in <i>Drosophila melanogaster</i> and its ectopic expression in rat-1 cells," <i>Biochemical and Biophysical Research Communications</i> , 1998, 35-40, Vol. 251.
CT	KUBO, et al., "Nonpeptide Angiotensin II Receptor Antagonists. Synthesis and Biological Activity of Benzimidazoles," <i>J. Med. Chem.</i> , 1993, 1772-1784, Vol. 36..

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	DH	SALDEEN, et. al., "Nicotinamide-Induced Apoptosis in Insulin Producing Cells in Associated with Cleavage of Poly(ADP-ribose) Polymerase," <i>Molecular and Cellular Endocrinology</i> , 1998, 99-107, Vol. 139.	
	DI	SANTANGELO, et al., "A Convenient Synthesis of 9-Hydroxy-3,4,5,6-Tetrahydro-1H-Azepino [5,4,3-cd] Indole from 7-Methoxyindole," <i>Synthetic Communications</i> , 1993, 2717-2725, Vol. 23, No. 19.	
	DJ	SAWANT, et al., "Synthesis of Some Pentacyclic Quinoxalines," <i>J. Shivaji Univ. (Science)</i> , 1977, 63-65, Vol. 17.	
	DK	SCHNELLER, et al., "Synthesis of proximal-Benzoguanine and a Simplified Synthesis of proximal-Benzohypoxanthine," <i>J. Org. Chem.</i> , 1986, 4067-4070, Vol. 51..	
	DL	SCULLEY, et al., "The determination of kinetic constants governing the slow, tight-binding inhibition of enzyme-catalysed reactions," <i>Biochimica et Biophysica Acta</i> , 1986, 874, 44-53.	
	DM	SEGEL, et. al., <u>Enzyme Kinetics: Behavior and Analysis of Rapid Equilibrium and Steady-State Enzyme Systems</u> , 1975, 100-125, John Wiley & Sons, Inc. New York.	
	DN	SIMONIN, et. al., "Identification of Potential Active-site Residues in the Human Poly(ADP-ribose) Polymerase," <i>The Journal of Biological Chemistry</i> , 1993, 8529-8535, Vol. 268, No. 12.	
	DO	SMITH, et al., "Tankyrase, a Poly(ADP-Ribose) Polymerase at Human Telomeres," <i>Science</i> , 1998, 1484-1487, Vol. 282.	
	DP	SOMEI, et al., "The Chemistry of Indoles. XLIV. Synthetic Study Directed toward 3,4,5,6-Tetrahydro-1H-azepino[5,4,3-cd] indoles," <i>Chem. Pharm. Bull.</i> , 1988, 1162-1168, Vol. 36.	
	DQ	SOMEI, M. et. al., Azepinoindole derivatives as eroline alkaloid-type pharmaceuticals," <i>Chemical Abstracts</i> , 1989, 743, Vol. 111, No. 11.	
	DR	SUTO, et. al., "Dihydroisoquinolinones: the design and synthesis of a new series of potent inhibitors of poly(ADP-ribose) polymerase," <i>Anti-Cancer Drug Design</i> , 1991, 107-117, Vol. 7.	
	DS	SZABO, et al., "Role of poly(ADP-ribose) synthetase in inflammation and ischaemia-reperfusion," <i>TIPS</i> , 1998, 287-298, Vol. 19.	
	DT	SZABO, et. al., "Role of Poly(ADP-ribose) Synthetase in Inflammation," <i>Eur. J. Biochem.</i> , 1998, 1-19, Vol. 350, No. 1.	
	DU	SZABO, et. al., "Protection Against Peroxynitrite-induced Fibroblast Injury and Arthritis Development by Inhibition of Poly(ADP-ribose) Synthetase," <i>Proc. Natl. Acad. Sci. USA</i> , 1998, 3867-3872, Vol. 95.	

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
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Application Number	10/811,513
Filing Date	March 29, 2004
First Named Inventor	Stacie Cana-Koch, et al
Art Unit	TBA
Examiner Name	TBA
Attorney Docket Number	PC19150

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